

01-14-02

A

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. SP01-029 Total Pages 2
First Named Inventor or Application Identifier Ming-Jun Li et al.
Title: WAVEGUIDE FIBER FOR DISPERSION AND SLOPE COMPENSATION
Express Mail Label No. EV 041470763 US

Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)

DECLARATION OF EXPRESS MAIL UNDER 37 CFR 1.10:
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

on 11 Jan 02
(Date)

Signature William J. Chervenak

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

"EXPRESS MAIL" Mailing Label No. EV 041470763 US

1. ☒ * Fee Transmittal Form
(Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 21]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description

3. ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets 9]

4. ☒ Oath or Declaration [Total Pages 2]

☒ Executed (original or copy)

☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)

i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))

8. ☒ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney

9. ☐ English Translation Document (if applicable)

10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

11. ☐ Preliminary Amendment

12. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)

14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

15. ☐ Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No

Prior application information: Examiner: Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22928

or ☐ Correspondence address below

| | | | | | |
|-------------------|---------------------------------|-----------|------|-----------------------------------|----------------|
| NAME | William J. Chervenak | | | | |
| ADDRESS | Corning Incorporated, SP-TI-3-1 | | | | |
| CITY | Corning | STATE | NY | ZIP CODE | 14831 |
| COUNTRY | USA | TELEPHONE | 3956 | FAX | (607) 974-3844 |
| Name (Print/Type) | William J. Chervenak | | | Registration No. (Attorney/Agent) | 38,407 |
| Signature | William J. Chervenak | | | Date | 11 Jan 02 |

FEE TRANSMITTAL for FY 2001

| Complete if Known | |
|------------------------|----------------|
| Application Number | To Be Assigned |
| Filing Date | Herewith |
| First Named Inventor | Li, Ming-Jun |
| Examiner Name | To Be Assigned |
| Group / Art Unit | To Be Assigned |
| Attorney Docket Number | SP01-029 |

TOTAL AMOUNT OF PAYMENT (\$1020.00)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

03-3325

Deposit
Account
Name

Corning Incorporated

- ☒ Charge Any Additional Fees Required
Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------------------|----------|------------------------|-------------------|
| 101 | 740 | Utility filing fee | 740.00 |
| 106 | 330 | Design filing fee | |
| 107 | 510 | Plant filing fee | |
| 108 | 740 | Reissue filing fee | |
| 114 | 160 | Provisional filing fee | |
| SUBTOTAL (1) | | | (\$740.00) |

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------------|----------------|----------|
| Total Claims | 18-20** = 0 x 18 = | | 00.00 |
| Independent Claims | 2- 3** = 0 x 84 = | | 00.00 |
| Multiple Dependent | 2 = 280.00 | | |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Fee (\$) | Fee Description |
|--------------------------|----------|--|
| 103 | 18 | Claims in excess of 20 |
| 102 | 84 | Independent claims in excess of 3 |
| 104 | 280 | Multiple dependent claim, if not paid |
| 109 | 84 | ** Reissue independent claims over original patent |
| 110 | 18 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$280.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-----------------------------------|----------|--|-------------|
| 105 | 130 | Surcharge - late filing fee or oath | |
| 127 | 50 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | Non-English specification | |
| 147 | 2,520 | For filing a request for reexamination | |
| 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840 | Requesting publication of SIR after Examiner action | |
| 115 | 110 | Extension for reply within first month | |
| 116 | 390 | Extension for reply within second month | |
| 117 | 890 | Extension for reply within third month | |
| 118 | 1,390 | Extension for reply within fourth month | |
| 128 | 1,890 | Extension for reply within fifth month | |
| 119 | 310 | Notice of Appeal | |
| 120 | 310 | Filing a brief in support of an appeal | |
| 121 | 270 | Request for oral hearing | |
| 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | Petition to revive - unavoidable | |
| 141 | 1,240 | Petition to revive - unintentional | |
| 142 | 1,240 | Utility issue fee (or reissue) | |
| 143 | 440 | Design issue fee | |
| 144 | 600 | Plant issue fee | |
| 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | Submission of Information Disclosure Stmt | |
| 581 | 40 | Recording each patent assignment per property (times number of properties) ___ x | |
| 146 | 710 | Filing a submission after final rejection (37 C.F.R. § 1.129(a)) | |
| 149 | 710 | For each additional invention to be examined (37 C.F.R. § 1.129(b)) | |
| Other fee (specify) _____ | | | |
| Other fee (specify) _____ | | | |
| *Reduced by Basic Filing Fee Paid | | SUBTOTAL (3) | (\$) |

SUBMITTED BY

| | | | |
|-------------------|-----------------------------|-----------------------------------|-----------|
| Name (Print/Type) | William J. Chervenak | Registration No. (Attorney/Agent) | 38,407 |
| Signature | <i>William J. Chervenak</i> | Date | 11 Jan 02 |

Completed (if applicable)